

PTO/SB/08a/b (07-05)

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Substitute for form 1449A/B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)			Complete if Known		
			Application Number	10/804640-Conf. #7762	
			Filing Date	March 19, 2004	
			First Named Inventor	Matthias WAGNER	
			Art Unit	2883	
			Examiner Name	J. P. Hughes	
Sheet	1	of	6	Attorney Docket Number	0111554.00132US3

U.S. PATENT DOCUMENTS					
Examin er Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
34	AA*	US-4,126,396-A	11-21-1978	Hartmann et al.	
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	AR1*	US-6,483,862-B1	11-19-2002	Aronson et al.	
	AS1*	US-6,487,342	11-26-2002	Wu et al.	

Examiner Signature	<i>John P. Hughes</i>	Date Considered	<i>5/4</i>
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Substitute for form 1449A/B/PTO			Complete if Known		
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			Art Unit	2883	
			Examiner Name	J. P. Hughes	
Sheet	2	of	6	Attorney Docket Number	0111554.00132US3

AT1*	US-6,545,796-B1	04-08-2003	Greywall	
AU1*	US-6,670,599-A1	12-30-2003	Wagner et al.	
AV1*	US-6,737,648-B2	05-18-2004	Fedder et al.	
AW1*	US-6,768,097-B1	07-27-2004	Viktorovitch et al.	
AX1*	US-6,985,281-A1	08-14-2003	Wagner et al.	
AY1	US-09/813,447			
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Examiner Initials*	Cite No. ¹	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁴
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)					
JL	BA	EP-0125390-A1		11-21-1984	Schaumberg Hanno		
	BB	EP-0139487		05-02-1985	Exxon Research		
	BC	EP-0178148-A2		04-16-1986	Xerox Corporation		
	BD	EP-0518228		12-16-1992	Hartmann & Braun		
	BE	EP-0559347		09-08-1993	AT&T Corp.		
	BF	EP-0773640		05-14-1997	AT&T		
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	BH	EP-1055959		11-29-2000	NEC Corporation		
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	BJ	EP-0860885		08-26-1998	Canon Kabushiki Kaisha		
	BK	EP-0883194-A1		12-09-1998	Univ Roma		
	BL	EP-0899836-A1		03-03-1999	Xerox Corporation		
	BM	EP-0899835-A1		03-03-1999	Xerox Corporation		

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Sheet	3	of	6	Attorney Docket Number	0111554.00132US3

JH	BN	DE-4424717	01-19-1996	Siemens Aktiengesellschaft		
	BO	DE-196 35 583	03-05-1998	Siemens AG		✓
	BP	JP-07168040	07-04-1995	Nippon Steel Corp.		
	BQ	JP-08250551	09-27-1996	Mitsubishi Elec. Corp.		
	BR	JP-60210826	10-23-1985	Mitsubishi Elec. Corp.		
	BS	WO-89/03593	04-20-1989	Stemcor Corp.		
	BT	WO-99/30394	06-17-1999	Coherent, Inc.		
	BU	WO-00/13350	03-09-2000	E-TEK Electrophotonics Solutions Corporation		
	BV	WO-00/22479	04-20-2000	Siemens Aktiengesellschaft		
	BW	WO-00/23833	04-27-2000	Coretek Inc.		
	BX	WO-01/16637	03-08-2001	Epitaxx Inc.		
	BY	WO-01/67646	09-13-2001	Flanders et al		
	BZ	WO-01/73850	10-04-2001	Aegis Semiconductor Inc.		
	BA1	WO-02/50528	06-27-2002	Baltes et al.		
	BB1	WO-02/057180	07-25-2002	Honeywell International, Inc.		
	BC1	WO-02/103441	12-27-2002	Aegis Semiconductor Inc.		✓
J	BD1	WO-03/046630	06-05-2003	Aegis Semiconductor Inc.		

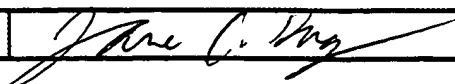
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. * CITE NO.: Those application(s) which are marked with an single asterisk (*) next to the Cite No. are not supplied (under 37 CFR 1.98(a)(2)(ii)) because that application was filed after June 30, 2003 or is available in the IPW. * Applicant's unique citation designation number (optional). * See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 801.04. * Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). * For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. * Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. * Applicant is to place a check mark here if English language Translation is attached.

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
JH	CA	AUGUSTINE, B.H. et al. "Thermal-optical switching of a silicon based interference filter" J. Appl. Phys. (15 February 1994): 75(04) 1875-1877	
	CB	BAUMEISTER, P., "Simulation of a rugate filter via a stepped-index dielectric multilayer", <i>Applied Optics</i> , Vol. 25, No. 16, pp. 2644-2645, 1986	
	CC	BRUEL et al., "Smart-cut: A New Silicon on Insulator Material Technology based on Hydrogen Implantation and Wafer Bonding", <i>Jpn. J. Appl. Phys.</i> , Vol. 36, pp. 1636-1641, 1997	
	CD	CARBUNESCU, E. "Non linear optical effects in hydrogenated amorphous silicon" <i>Optical Engineering</i> , Vol. 35, No. 05, pp. 1322-1324, May 1996	
	CE	CHOI et al. "Design and Control of a Thermal Stabilizing System for a MEMS Optomechanical Uncooled Infrared Imaging Camera", <i>Sensors and Actuators</i> , Vol. 203, No. A104, pp. 132-142	
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	CG	COCORULLO, G. et al. "Amorphous silicon waveguides and light modulators for integrated photonics realized by low-temperature plasma-enhanced chemical-vapor deposition." <i>Optics Letters</i> , Vol. 21, No. 4, pp. 2002-2004, 15 December 1996	
	CH	COCORULLO, G. et al. "Amorphous silicon-based guided-wave passive and active devices for silicon integrated optoelectronics." <i>IEEE Journal of Selected Topics in Quantum Electronics</i> , Vol. 4, No. 6, pp. 997-1002, Nov/Dec 1998	
	CI	COCORULLO, G. et al. "Amorphous silicon waveguides and interferometers for low-cost silicon optoelectronics." <i>SPIE</i> , Vol. 3278, pp. 286-292, 1998	
	CJ	COCORULLO, G. et al., "Measurement of the thermo-optic coefficient of a-Si:H at the	
Examiner Signature	<i>[Signature]</i>		Date Considered
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Sheet	4	of	6	Attorney Docket Number	0111554.00132US3

JK		wavelength of 1500 nm from room temperature to 200°C", <i>Journal of Non-Crystalline Solids</i> , pp. 310-313, 2002	
JK	CK	COCORULLO et al., "Fast Infrared Light Modulation in a-Si:H Micro-devices", <i>J. Non-Crystalline Sol.</i> , Vol. 266, pp. 1247-1251, 2000	
	CL	COCORULLO, G. et al. "Silicon thermo-optical micromodulator with 700-KHz-3dB bandwidth." <i>IEEE Photonics Technology Letters</i> , Vol. 7, No. 4, pp. 363-365, April 1995	
	CM	COPPOLA, G. et al. "Simulation and analysis of a high-efficiency silicon optoelectronic modulator based on a Bragg mirror." <i>Society of Photo-optical Instrumentation Engineers</i> (June 2001): 40(6) 1076-1081	
	CN	DELLA CORTE, F. et al., "Study of the thermo-optic effect in hydrogenated amorphous silicon and hydrogenated amorphous silicon carbide between 300 and 500 K at 1.55 μm ", <i>Applied Physics Letters</i> , Vol. 79, No. 2, pp. 168-170, 9 July 2001	
	CO	DESALVO et al., "Advanced Components and Subsystem Solutions for 40 gb/s Transmission", <i>Journal of Lightwave Technology</i> , Vol. 20, No. 12, pp. 2175-2177, 2002	
	CP	DOMASH et al., "Broadly Tunable Thin Film Interference Coatings: Active Thin Film for Telecom Applications", <i>Proceedings of SPIE</i> , Vol. 4989, pp. 161-167, June 2003	
	CQ	DOMASH, L. et al., "Switchable thin film add/drop filter", <i>2003 Optical Society of America</i> , PD35-1-PD25-3, 2003	
	CR	DOMASH, L. et al., "Tunable thin-film filters based on thermo-optic semiconductor films", <i>Applications of Photonic Technology 5, Proceedings of SPIE</i> , Vol. 4833, pp. 685-695, 2002	
	CS	DOMASH et al., "Tunable and Switchable Multiple-Cavity Thin Film Filters", <i>Journal of Lightwave Technology</i> , Vol. 22, No. 1, pp. 126-135, 2004	
	CT	EICKER, U. et al. "Optical bistability in amorphous Si-C alloys and amorphous alloy interference filters." <i>Optical Society of America</i> , Vol. 8, No. 3, pp. 614-617, 1991	
	CU	FERNANDES, M. et al., "VIS/NIR detector based on $\mu\text{c-Si:H}$ p-i-n structures", <i>Thin Solid Films</i> , Elsevier Science, S.A., Vol. 364, No. 1-2, pp. 204-205, March 2000	
	CV	GHOSH, G., "Temperature dispersion of refractive indices in crystalline and amorphous silicon", <i>Appl. Phys. Lett.</i> 66, Vol. 26, 26 June 1995	
	CW	GNAUCK et al., "Optical Equalization of Fiber Chromatic Dispersion in a 5-GB/S Transmission System", <i>IEEE Photonics Technology Letters</i> , Vol. 2, No. 8, pp. 585-587, 1 August 1990	
	CX	HOHLFELD et al., "A Thermally Tunable Silicon-based Optical Filter", <i>Sensors and Actuators</i> , Vol. 103, No. 1-2, pp. 93-99, 15 January 2003	
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	CZ	IODICE, M. et al. "Simple and low-cost technique for wavelength division multiplexing channel monitoring." <i>Society of Photo-Optical Instrumentation Engineers</i> , Vol. 69, No. 6, pp. 1704-1711, June 2000	
	CA1	JABLONSKI, M. et al., "Entirely thin-film allpass coupled-cavity filters in a parallel configuration for adjustable dispersion-slope compensation", <i>IEEE Photonics Technology Letters</i> , Vol. 13, No. 11, November 2001	
	CB1	JDSU COADM Configurable Optical Add Drop Multiplexers, http://www.jdsu.com/site/images/products/pdf/coadm_apnote.pdf	
	CC1	KAJAVA, T. et al. "Tunable fabry-perot micro-filters for telecommunication system diagnostics." <i>Tech Dig. Conf. Lasers and Electro-Optics Cleo/Europe</i> , p. 324, 1998	
	CD1	KOBAYASHI, Y. et al., "Improvement on Coupling Efficiency for Passive Alignment of Stacked Multi-Fiber Tapes to a Vertical-Cavity Surface-Emitting Laser Array", <i>Extend Abstracts of the 1996 International Conference on Solid State Devices and Materials</i> , pp. 655-657, 1996	
	CE1	LEQUIME, M. et al., "Toward tunable thin-film filters for wavelength division multiplexing applications", <i>Applied Optics</i> , Vol. 41, No. 16, pp. 3277-3284, 1 June 2002	
	CF1	LI, H., "Refractive Index of Silicon and Germanium and its Wavelength and Temperature	


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		Derivatives", <i>J. Phys. and Chem. Ref. Data.</i> , Vol. 9, p. 561, 1980	
CG1	LUNARDI, L. et al., "Tunable dispersion compensation at 40-Gb/s using a multicavity etalon all-pass filter with NRZ, RZ and CS-RZ modulation", <i>Journal of Lightwave Technology</i> , Vol. 20, No. 12, December 2002		
CH1	MADSEN et al., "A Multi-Channel Dispersion Slope Compensating Optical Allpass Filter", <i>Optical Fiber Communication Conference, Technical Digest Postconference edition</i> , Vol. 2 of 4, pp. WF5-1, 7 March 2000		
CI1	MADSEN et al., "A Tunable Dispersion Compensating MEMS All-Pass Filter", <i>IEEE Photonics Technology Letters</i> , Vol. 12, No. 6, pp. 651-653, 2000		
CJ1	MANDURAH, M.M., "Dopant Seregation in Polycrystalline Silicon", <i>J. App. Phys.</i> , Vol. 51, pp. 5755-5763, 1980		
CK1	MARTINU, L., "Plasma deposition of optical films and coatings: A review", <i>J. Vac. Sci. Technol.</i> , Vol. 18, No. 6, pp. 2619-2645, Nov./Dec. 2000		
CL1	MOSS et al., "Multichannel Tunable Dispersion Compensation Using all-pass Multicavity Etalons", <i>Optical Society of America</i> , 2002		
CM1	NIEMI, T. et al. "Tunable silicon etalon for simultaneous spectral filtering and wavelength monitoring of a DWDM transmitter." <i>IEEE Photonics Technology Letters</i> (January 2001): 13(1) 58-60		
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CP1	PARMENTIER, R. et al., "Towards tunable optical filters", <i>Technical Digest, OSA Topical Meeting Optical Interference Coatings</i> , Paper WB1, 15 July 2001		
CQ1	PARMENTIER, R. et al., "Substrate-strain-induced tunability of dense wavelength-division multiplexing thin-film filters", <i>Optic Letters</i> , Vol. 28, No. 9, pp. 728-730, 1 May 2003		
CR1	PAYNE et al., "Effects of Chlorine on Dopant Activation in α -Si:H", <i>Appl. Phys. Lett.</i> , Vol. 76, No. 20, p. 2949, 2000		
CS1	POLYAKOV et al., "Processability and Electrical Characteristics of Glass Substrates for RF Wafer-Level Chip-Scale Packages", <i>2003 Proceedings 53rd, Electronic Components and Technology Conference</i> , Vol. CONF. 53, 27 May 2003		
CT1	RIANT et al., "Chirped Fiber Bragg Gratings for WDM Chromatic Dispersion Compensation in Multispan 10-Gb/s Transmission", <i>IEEE Journal of Selected Topics in Quantum Electronics</i> , Vol. 5, No. 5, pp. 1312-1323, 1999		
CU1	SCHMIDT, M. A., "Wafer-to-wafer Bonding for Microstructure Formation", <i>Proc. IEEE</i> , Vol. 86, pp. 1575-1585, 1998		
CV1	SONG et al., "Fabrication of Single Crystalline Silicon on Glass by Smart-Cut Technique", <i>Chinese Physics Letters</i> , Vol. 20, No. 1, pp. 108-110, January 2003		
CW1	TAKAGI et al., "High-rate Growth of Stable α -Si:H", <i>Mat. Res. Soc. Symp. Proc.</i> , Vol. 557, p. 105, 1999		
CX1	TAKASHASHI, H., "Temperature stability of thin-film narrow-bandpass filters produced by ion-assisted deposition", <i>Applied Optics</i> , Vol. 34, No. 4, pp. 667-675, 1 February 1995		
CY1	TSAI, RY. et al., "Amorphous silicon and amorphous silicon nitride films prepared by a plasma-enhanced chemical vapor deposition process as optical coating materials", <i>Applied Optics</i> , Vol. 32, No. 28, pp. 5561-5566, 1 October 1993		
CZ1	WILLNER, A., "Chromatic dispersion and polarization-mode dispersion", <i>OPN TRENDS</i> , pp. S-16-S-21, March 2002		
CA2	WPIEJEWSKI et al., "Vertical-Cavity Surface-Emitting Laser Diodes for Short Distance Optical Fiber Networks", <i>Proceeding of the Electronic Components and Technology Conference, Washington DC, IEEE</i> , Vol. 44, pp. 330-334, 1994		

Examiner Signature		Date Considered	3-30-06
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012	CB2	YANG et al., "Amorphous Silicon and SiGe Alloy Solar Cells Deposited by VHF", <i>Mat. Res. Soc. Symp.</i> , Vol. 664, p. A11.3.1, 2001	
012	CC2	ZHAO et al., "Optomechanical Uncooled Infrared Imaging System: Design, Microfabrication, and Performance", <i>Journal of Microelectromechanical Systems</i> , Vol. 11, No. 2, pp. 136-146, 2002	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English language Translation is attached.

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